

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Nedim FRESKO et al.

Application No./Patent No.: 5,966,702 / 90/011,492 Filed/Issue Date: October 12, 1999

Titled: METHOD AND APPARATUS FOR PRE-PROCESSING AND PACKAGING CLASS FILES

Oracle America, Inc., a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ an assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made) the patent application/patent identified above by virtue of either:
- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

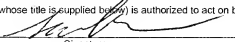
- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:
1. From: Nedim FRESKO and Richard TUCK To: Sun Microsystems, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel 09181, Frame 0004, or for which a copy thereof is attached.
2. From: Sun Microsystems, Inc. To: Oracle America, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee

  
\_\_\_\_\_  
Signature  
George P. Simion  
Printed or Typed Name

03/11/11  
\_\_\_\_\_  
Date  
Sr. Patent Counsel  
\_\_\_\_\_  
Title

# Delaware

PAGE 1

## *The First State*

I, JEFFREY W. BULLOCK, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF MERGER, WHICH MERGES:

"ORACLE USA, INC.", A COLORADO CORPORATION,  
WITH AND INTO "SUN MICROSYSTEMS, INC." UNDER THE NAME OF "ORACLE AMERICA, INC.", A CORPORATION ORGANIZED AND EXISTING UNDER THE LAWS OF THE STATE OF DELAWARE, AS RECEIVED AND FILED IN THIS OFFICE THE TWELFTH DAY OF FEBRUARY, A.D. 2010, AT 5:39 O'CLOCK P.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF MERGER IS THE FIFTEENTH DAY OF FEBRUARY, A.D. 2010, AT 3:01 O'CLOCK A.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.

2101822 8100M

100140341

You may verify this certificate online  
at [corp.delaware.gov/authver.shtml](http://corp.delaware.gov/authver.shtml)



  
Jeffrey W. Bullock, Secretary of State  
AUTHENTICATION: 7810826

DATE: 02-12-10

CERTIFICATE OF MERGER

MERGING

ORACLE USA, INC., A COLORADO CORPORATION

WITH AND INTO

SUN MICROSYSTEMS, INC., A DELAWARE CORPORATION

*Pursuant to Section 252  
of the General Corporation Law of the State of Delaware*

Pursuant to Section 252 of the Delaware General Corporation Law, the undersigned corporation does hereby certify as follows:

1. The name and state of incorporation of each of the constituent entities (the "Constituent Entities") of the merger are as follows:

<u>Name</u>	<u>State of Incorporation</u>	<u>Form of Entity</u>
(a) Oracle USA, Inc. (" <u>OUS</u> A")	Colorado	Corporation
(b) Sun Microsystems, Inc. (" <u>SM</u> I")	Delaware	Corporation

2. That certain Agreement and Plan of Merger, dated as of February 15, 2010 (the "Merger Agreement") by and among the Constituent Entities with respect to the merger (the "Merger") of OUSA with and into SMI, has been approved, adopted, certified, executed and acknowledged by each of the Constituent Entities in accordance with Section 252 of the Delaware General Corporation Law.

3. The surviving entity (the "Surviving Entity") of the Merger shall be SMI, and the name of the Surviving Entity shall be Oracle America, Inc.

4. The Certificate of Incorporation of SMI at the effective time of the Merger shall be amended and restated in its entirety in the form attached hereto as Exhibit A.

5. The directors and officers of OUSA at the effective time of the Merger shall be the directors and officers of the Surviving Entity.

6. The Merger is to become effective as of February 15, 2010 at 3:01 a.m. Eastern Standard Time.


7. The executed Merger Agreement is on file at 500 Oracle Parkway, Redwood Shores, California 94065, the principal place of business of the Surviving Entity.

8. A copy of the Merger Agreement will be furnished by the Surviving Entity on request, and without cost, to any stockholder of either Constituent Entity.

[The remainder of this page intentionally left blank.]

IN WITNESS WHEREOF, the Surviving Entity has caused this certificate to be signed by its duly authorized officer as of the date set forth below.

SUN MICROSYSTEMS, INC., a Delaware corporation

By:   
Name: Greg Hillbrich  
Title: Senior Vice President, Taxation  
Date: February 12, 2010

**Exhibit A**

**Amended and Restated Certificate of Incorporation**

**AMENDED AND RESTATED  
CERTIFICATE OF INCORPORATION  
OF  
ORACLE AMERICA, INC.**

**FIRST:** The name of this corporation is Oracle America, Inc. (the "Corporation").

**SECOND:** The address of the registered office of the Corporation in the State of Delaware is 2711 Centerville Road, Suite 400, City of Wilmington 19808, County of New Castle. The name of the registered agent of the Corporation in the State of Delaware at such address is Corporation Service Company.

**THIRD:** The purpose of the Corporation is to engage in any lawful act or activity for which a corporation may be organized under the General Corporation Law of the State of Delaware as set forth in Title 8 of the Delaware Code (the "DGCL").

**FOURTH:** The total number of shares of stock of all classes which the Corporation has authority to issue is 88,092, consisting of 100 shares of Common Stock, each having a par value of one cent (\$0.01) and 87,992 shares of Preferred Stock, each having a par value of one cent (\$0.01). Holders of Common Stock shall be entitled to 1 vote per share of Common Stock.

The Board of Directors of the Corporation is authorized, subject to any limitations prescribed by the law of the State of Delaware, to provide for the authorization and issuance of Preferred Stock of the Corporation in one or more series, to establish from time to time the number of shares to be included in each series, to fix the designation, powers, preferences and rights of the shares of each such series and any qualifications, limitations or restrictions thereof, and to increase or decrease the number of shares of any such series (but not below the number of shares of such series then outstanding).

**FIFTH:** The following provisions are inserted for the management of the business and the conduct of the affairs of the Corporation, and for further definition, limitation and regulation of the powers of the Corporation and of its directors and stockholders:

- (1) The business and affairs of the Corporation shall be managed by or under the direction of the Board of Directors.
- (2) The directors of the Corporation shall have the power to make, alter, amend, change, add to or repeal the By-Laws of the Corporation.
- (3) The number of directors of the Corporation shall be as from time to time fixed by, or in the manner provided in, the By-Laws of the Corporation. Election of directors need not be by written ballot unless the By-Laws so provide.
- (4) In addition to the powers and authority hereinbefore or by statute expressly conferred upon them, the directors of the Corporation are hereby empowered to exercise all such powers and do all such acts and things as may be exercised or done by the Corporation, subject, nevertheless, to the provisions of the DGCL, this Certificate of Incorporation, and any By-Laws adopted by the stockholders; provided, however, that no By-Laws hereafter adopted by the stockholders shall invalidate any prior act of the directors of the Corporation that would have been valid if such By-Laws had not been adopted.

**SIXTH:** (a) To the fullest extent permitted by applicable law, this Corporation is authorized to provide indemnification of (and advancement of expenses to) directors, officers, employees and agents (and any other persons to which Delaware law permits this Corporation to provide indemnification) through By-Law provisions, agreements with such agents or other persons, vote of stockholders or disinterested directors or otherwise, in excess of the indemnification and advancement otherwise permitted by Section 145 of the DGCL, subject only to limits created by applicable Delaware law (statutory or non-statutory), with respect to action for breach of duty to the Corporation, its stockholders, and others.

(b) No director of the Corporation shall be personally liable to the Corporation or any stockholder for monetary damages for breach of fiduciary duty as a director, except for any matter in respect of which such director shall be liable under Section 174 of the DGCL or any amendment thereto or shall be liable by reason that, in addition to any and all other requirements for such liability, such director (1) shall have breached the director's duty of loyalty to the Corporation or its stockholders, (2) shall have acted in manner involving intentional misconduct or a knowing violation of law or, in failing to act, shall have acted in a manner involving intentional misconduct or a knowing violation of law, or (3) shall have derived an improper personal benefit. If the DGCL is hereafter amended to authorize the further elimination or limitation of the liability of a director, the liability of a director of the Corporation shall be eliminated or limited to the fullest extent permitted by the DGCL, as so amended.

(c) Each person who was or is made a party or is threatened to be made a party to or is in any way involved in any threatened, pending or completed action, suit or proceeding, whether civil, criminal, administrative or investigative (hereinafter a "proceeding"), including any appeal therefrom, by reason of the fact that he or she, or a person of whom he or she is the legal representative, is or was a director or officer of the Corporation or a direct or indirect subsidiary of the Corporation, or is or was serving at the request of the Corporation as a director or officer of another entity or enterprise, or was a director or officer of a foreign or domestic corporation which way predecessor corporation of the Corporation or of another entity or enterprise at the request of such predecessor corporation, shall be indemnified and held harmless by the Corporation, and the Corporation shall advance all expenses incurred by any such person in defense of any such proceeding prior to its final determination, to the fullest extent authorized by the DGCL; provided, however, that to the extent required by law, any payment of expenses in advance of a final determination of the proceeding shall be only upon receipt of an undertaking by the recipient to repay all amounts advanced if it is ultimately determined that such person is not entitled to be indemnified. In any proceeding against the Corporation to enforce these rights, such person shall be presumed to be entitled to indemnification and the Corporation shall have the burden of proving that such person has not met the standards of conduct for permissible indemnification set forth in the DGCL. The rights to indemnification and advancement of expenses conferred by this Article SIXTH shall be presumed to have been relied upon by the directors and officers of the Corporation in serving or continuing to serve the Corporation and shall be enforceable as contract rights. Said rights shall not be exclusive of any other rights to which those seeking indemnification may otherwise be entitled. The Corporation may, upon written demand presented by a director or officer of the Corporation or of a direct or indirect subsidiary of the Corporation, or by a person serving at the request of the Corporation as a director or officer of another entity or enterprise, enter into contracts to provide such persons with specified rights to indemnification, which contracts may confer rights and protections to the maximum extent permitted by the DGCL, as amended and in effect from time to time.

(d) If a claim under this Article SIXTH is not paid in full by the Corporation within sixty (60) days after a written claim has been received by the Corporation, the claimant may at any

time thereafter bring suit against the Corporation to recover the unpaid amount of the claim and, if successful in whole or in part, the claimant shall be entitled to be paid also the expenses of prosecuting such claim. It shall be a defense to any such action (other than an action brought to enforce the right to be advanced expenses incurred in defending any proceeding prior to its final disposition where the required undertaking, if any, has been tendered to the Corporation) that the claimant has not met the standards of conduct which make it permissible under the DGCL for the Corporation to indemnify the claimant for the amount claimed, but the claimant shall be presumed to be entitled to indemnification and the Corporation shall have the burden of proving that the claimant has not met the standards of conduct for permissible indemnification set forth in the DGCL.

(e) If the DGCL is hereafter amended to permit the Corporation to provide broader indemnification rights than said law permitted the Corporation to provide prior to such amendment, the indemnification rights conferred by this Article SIXTH shall be broadened to the fullest extent permitted by DGCL, as so amended.

**SEVENTH:** Meetings of stockholders may be held within or without the State of Delaware, as the By-Laws may provide. The books of the Corporation may be kept (subject to any provision contained in the DGCL) outside the State of Delaware at such place or places as may be designated from time to time by the Board of Directors or in the By-Laws of the Corporation.

**EIGHTH:** The Corporation reserves the right to amend, alter, change or repeal any provision contained in this Certificate of Incorporation; in the manner now or hereafter prescribed by statute, and all rights conferred upon stockholders herein